

Docket No.: 111472.120US1

PATENT/OFFICIAL

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

McCarthy et al.

Serial No. 09/809,429

Filed: March 16, 2001

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: Group Art Unit: 2161  
:  
: Examiner:

For: SYSTEM, METHOD AND MEDIUM FOR TRADING FIXED INCOME SECURITIES

**INFORMATION DISCLOSURE STATEMENT**

Honorable Commissioner for Patents  
Washington, D. C. 20231

Sir:

In accordance with the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, the attention of the Patent and Trademark Office is hereby directed to the documents listed on the attached form PTO-1449. It is respectfully requested that the documents be expressly considered during the prosecution of this application, and that the documents be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.

In accordance with 37 C.F.R. §§ 1.97(g) and (h), the filing of this IDS should not be construed as a representation that a search had been made or that information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item, and Applicant reserves the right to prove that the date of publication is in fact different.

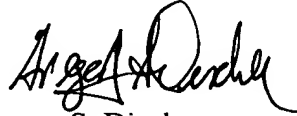
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The Commissioner is authorized to charge any deficiency in any fees pursuant to 37 CFR § 1.17 associated with this communication and to credit any excess payment to Deposit Account No. 08-0219.

Respectfully submitted,

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<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>   (PTO-1449)				ATTY. DOCKET NO. <b>111472.120US1</b>		SERIAL NO. <b>09/809,429</b>	
				APPLICANT <b>McCarthy et al.</b>		<b>RECEIVED</b> SEP 19 2001 Technology Center 2100	
				FILING DATE <b>March 16, 2001</b>			
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
	5,557,517	09/17/96	Daughterty, III			07/29/94	
	5,717,989	02/10/98	Tozzoli et al.			10/13/94	
	5,774,880	06/30/98	Ginsberg			02/28/95	
	5,797,127	08/18/98	Walker, et al.			12/31/96	
	5,809,483	09/15/98	Broka, et al.			11/14/97	
	5,835,896	11/10/98	Fisher, et al.			03/29/96	
	5,905,974	05/18/99	Fraser, et al.			12/13/96	
	5,924,083	07/13/99	Silverman et al.			05/29/96	
	5,950,176	09/07/99	Keiser, et al.			03/25/96	
	5,963,923	10/05/99	Garber			06/03/97	
	5,966,699	10/12/99	Zandi			10/11/96	
	6,012,046	01/04/00	Lupien, et al.			10/16/97	
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	6,035,289	03/07/00	Chou, et al.			07/14/98	
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	6,078,906	06/20/00	Huberman			10/16/98	
	6,151,588	11/21/00	Tozzoli, et al.			02/09/98	
<b>FOREIGN PATENT DOCUMENTS</b>							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
<b>OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
"eCommerce in the U.S. Fixed Income Markets." The 1999 Review of Electronic Transaction Systems. The Bond Market Association, November 1999, pp. 1-35.							
EXAMINER				DATE CONSIDERED			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.